

Attorney's Docket No.: 11657-003001

#3628
#6 w
10 25 02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary L. Gastineau, et al Art Unit : Unknown
Serial No. : 09/536,258 Examiner : Unknown
Filed : March 27, 2000
Title : HEDGING EXCHANGE TRADED MUTUAL FUNDS OR OTHER
PORTFOLIO BASKET PRODUCTS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed.

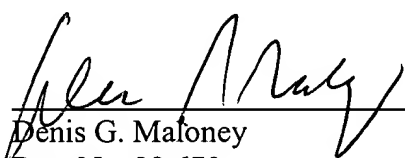
This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: _____

Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110
Telephone: (617) 542-5070
Facsimile: (617) 542-8906

20735812.doc



Denis G. Maloney
Reg. No. 29,670

RECEIVED

OCT 21 2003

GROUP 3600

10/17/2003 SSESHE1 00000014 09536258

01 FC:1806

180.00 OP

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

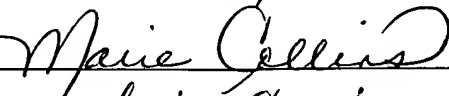
I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit

Signature

Typed or Printed Name of Person Signing Certificate

October 9, 2003



Marie Collins